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1c975 U.S. PTO

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A PROFESSIONAL SERVICE CORPORATION

ROBERT B. HUGHES
MICHAEL R. SCHACHT
MICHAEL F. HUGHES

2801 MERIDIAN STREET, SUITE 1
BELLINGHAM, WA 98225-2412
(360) 647-1296
1-888-647-1296
FAX: (360) 671-2489

PATENT, TRADEMARK
& COPYRIGHT LAW

Assistant Commissioner for Patents
U.S. Patent and Trademark Office
Washington, D.C. 20231

December 01, 2000
Docket No. P113414

1c690 U.S. PTO
09/728633
12/01/00

Sir:

Transmitted herewith for filing is a Patent application claiming Small Entity Status:

Applicant: Mr. Dieter Blum
Title: METHOD AND APPARATUS FOR THE SPECTRALLY EFFICIENT
ENCODING AND DECODING OF DISCRETE DATA INTO AND FROM
ANALOG WAVEFORMS

Application is claiming priority benefit under 35 U.S.C. §119(e) of U.S. Serial
Number(s) and Filing Date(s):

<u>Serial Number</u>	<u>Filing Date</u>
60/168,781	12/2/99

1. Enclosed are:

- Specification, claims (9 pages total: 6 pages of specification, 3 pages of claims);
- 1-page Utility Patent Application Transmittal;
- 1-page Fee Transmittal in duplicate form;
- 1 sheet of informal drawings;
- Unexecuted Combined Declaration and Power of Attorney;
- 1-page Preliminary Amendment;
- Certificate of Express Mailing requesting treatment under 37 CFR 1.10, Express Mail Filing Date of December 01, 2000, Label No. EL589683488US;
- A check in the amount of \$ 355.00 for Filing Fee; and
- A stamped return receipt postcard.

EXPRESS MAIL CERTIFICATE OF MAILING
37 C.F.R. §1.10

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service, Express Mail Post Office to Addressee, in an envelope addressed to BOX PATENT APPLICATION, Assistant Commissioner for Patents, Washington, DC 20231, on the date shown below.

Express Mail No: EL589683488US

Signature: _____

Print Name: Robin Fry

DATE MAILED: December 01, 2000

09/728633

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Please type a plus sign (+) inside this box --> ☐

PTO/SB/05 (4/98)
Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))	Attorney Docket No.	P113414
	First Inventor or Application Identifier	Dieter Blum
	Title	METHOD AND APPARATUS FOR THE SPECTRALLY EFFICIENT ENCODING AND DECODING OF DISCRETE DATA INTO AND FROM ANALOG WAVEFORMS
	Express Mail Label No.	EL589683488US

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington DC 20211
1. <input checked="" type="checkbox"/> *Fee Transmittal Form (e.g., PTO/SB/117) (Submit an original and a duplicate for fee processing)	5. <input type="checkbox"/> Microfiche Computer Program (Appendix)
2. <input checked="" type="checkbox"/> Specification [Total Pages 9] (preferred arrangement set forth below) - Descriptive title of the invention - Cross References to Related Applications - Statement Regarding Fed sponsored R & D - Reference to Microfiche Appendix - Background of the invention - Brief Summary of the invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure	6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Copy b. <input type="checkbox"/> Paper Copy (identical to computer copy) c. <input type="checkbox"/> Statement verifying identity of above copies
3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 1]	ACCOMPANYING APPLICATION PARTS 7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 8. <input type="checkbox"/> 37 C.F.R. §3.73(b) Statement of Power of Attorney (when there is an assignee) 9. <input type="checkbox"/> English Translation Document (if applicable) 10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS Citations] 11. <input checked="" type="checkbox"/> Preliminary Amendment 12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) * Small Entity 13. <input checked="" type="checkbox"/> Statement(s) [Statement filed in prior application, Status still proper and desired] (PTO/SB/09-12) 14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 15. <input checked="" type="checkbox"/> Other: Transmittal Letter w/ Express Cert. of Mailing
4. Oath or Declaration [Total Pages 10] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 16 completed) I <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).	

16. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:
☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: _____
Prior application in formation: Examiner _____ Group I Art Unit _____
For **CONTINUATION or DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS					
<input checked="" type="checkbox"/> Customer Number or Bar Code Label 22931 or <input type="checkbox"/> Correspondence address below (Insert Customer No or Attach bar code label here)					
Name	Robert B. Hughes Hughes & Schacht P.S.				
Address	2801 Meridian St. Suite 1				
City	Bellingham	State	WA	Zip Code	98225
Country	U.S.	Telephone	(360) 647-1296	Fax	(360) 671-2489

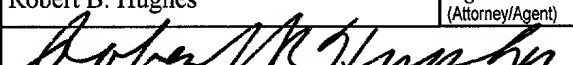
Name (Print/Type)	Robert B. Hughes	Registration No. (Attorney/Agent)	19,304
Signature	<i>Robert B. Hughes</i>	Date	December 01, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2000 <small>Patent fees are subject to annual revision. Small Entity payments <u>must</u> be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.</small>		Complete if Known		
		Application Number		
		Filing Date	December 01, 2000	
		First Named Inventor	Dieter Blum	
		Examiner Name		
		Group / Art Unit		
TOTAL AMOUNT OF PAYMENT		\$ 355.00	Attorney Docket No.	P113414

METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																																																									
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to credit any overpayment to the account stated below. Deposit Account Number: 08-3260 Deposit Account Name: <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17		3. ADDITIONAL FEES <table border="1"><thead><tr><th>Large Entity Code (\$)</th><th>Small Entity Code (\$)</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>105 130 205 65</td><td></td><td>Surcharge - late filing fee or oath</td><td></td></tr><tr><td>127 50 227 25</td><td></td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr><tr><td>139 130 139 130</td><td></td><td>Non-English specification</td><td></td></tr><tr><td>147 2,520 147 2,520</td><td></td><td>For filing a request for reexamination</td><td></td></tr><tr><td>112 920* 112 920*</td><td></td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr><tr><td>113 1,840* 113 1,840*</td><td></td><td>Requesting publication of SIR after Examiner action</td><td></td></tr><tr><td>115 110 215 55</td><td></td><td>Extension for reply within first month</td><td></td></tr><tr><td>116 380 216 190</td><td></td><td>Extension for reply within second month</td><td></td></tr><tr><td>117 870 217 435</td><td></td><td>Extension for reply within third month</td><td></td></tr><tr><td>118 1,360 218 680</td><td></td><td>Extension for reply within fourth month</td><td></td></tr><tr><td>128 1,850 228 925</td><td></td><td>Extension for reply within fifth month</td><td></td></tr><tr><td>119 300 219 150</td><td></td><td>Notice of Appeal</td><td></td></tr><tr><td>120 300 220 150</td><td></td><td>Filing a brief in support of an appeal</td><td></td></tr><tr><td>121 260 221 130</td><td></td><td>Request for oral hearing</td><td></td></tr><tr><td>138 1,510 138 1,510</td><td></td><td>Petition to institute a public use proceeding</td><td></td></tr><tr><td>140 110 240 55</td><td></td><td>Petition to revive - unavoidable</td><td></td></tr><tr><td>141 1,210 241 605</td><td></td><td>Petition to revive - unintentional</td><td></td></tr><tr><td>142 1,210 242 605</td><td></td><td>Utility issue fee (or reissue)</td><td></td></tr><tr><td>143 430 243 215</td><td></td><td>Design issue fee</td><td></td></tr><tr><td>144 580 244 290</td><td></td><td>Plant issue fee</td><td></td></tr><tr><td>122 130 122 130</td><td></td><td>Petitions to the Commissioner</td><td></td></tr><tr><td>123 50 123 50</td><td></td><td>Petitions related to provisional applications</td><td></td></tr><tr><td>126 240 126 240</td><td></td><td>Submission of Information Disclosure Stmt</td><td></td></tr><tr><td>581 40 581 40</td><td></td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr><tr><td>146 760 246 380</td><td></td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr><tr><td>149 760 249 380</td><td></td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr><tr><td colspan="2">Other fee (specify) _____</td><td></td><td></td></tr><tr><td colspan="2">Other fee (specify) _____</td><td></td><td></td></tr><tr><td colspan="2">Reduced by Basic Filing Fee Paid</td><td>SUBTOTAL (3)</td><td>(\$ 0.00)</td></tr></tbody></table>		Large Entity Code (\$)	Small Entity Code (\$)	Fee Description	Fee Paid	105 130 205 65		Surcharge - late filing fee or oath		127 50 227 25		Surcharge - late provisional filing fee or cover sheet		139 130 139 130		Non-English specification		147 2,520 147 2,520		For filing a request for reexamination		112 920* 112 920*		Requesting publication of SIR prior to Examiner action		113 1,840* 113 1,840*		Requesting publication of SIR after Examiner action		115 110 215 55		Extension for reply within first month		116 380 216 190		Extension for reply within second month		117 870 217 435		Extension for reply within third month		118 1,360 218 680		Extension for reply within fourth month		128 1,850 228 925		Extension for reply within fifth month		119 300 219 150		Notice of Appeal		120 300 220 150		Filing a brief in support of an appeal		121 260 221 130		Request for oral hearing		138 1,510 138 1,510		Petition to institute a public use proceeding		140 110 240 55		Petition to revive - unavoidable		141 1,210 241 605		Petition to revive - unintentional		142 1,210 242 605		Utility issue fee (or reissue)		143 430 243 215		Design issue fee		144 580 244 290		Plant issue fee		122 130 122 130		Petitions to the Commissioner		123 50 123 50		Petitions related to provisional applications		126 240 126 240		Submission of Information Disclosure Stmt		581 40 581 40		Recording each patent assignment per property (times number of properties)		146 760 246 380		Filing a submission after final rejection (37 CFR § 1.129(a))		149 760 249 380		For each additional invention to be examined (37 CFR § 1.129(b))		Other fee (specify) _____				Other fee (specify) _____				Reduced by Basic Filing Fee Paid		SUBTOTAL (3)	(\$ 0.00)
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SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Robert B. Hughes	Registration No. (Attorney/Agent)	19,304
Signature		Telephone	(360)647-1296
		Date	December 01, 2000

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